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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/891,465	06/27/2001	Thomas W. Yale	8702.01	8297
37833	7590	06/02/2005	EXAMINER	
LITMAN LAW OFFICES, LTD PO BOX 15035 CRYSTAL CITY STATION ARLINGTON, VA 22215			ARMSTRONG, ANGELA A	
			ART UNIT	PAPER NUMBER
			2654	

DATE MAILED: 06/02/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/891,465

**Applicant(s)**

YALE ET AL.

**Examiner**

Angela A. Armstrong

**Art Unit**

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 27 June 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-9 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-9 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>06/27/01</u> . | 6) <input type="checkbox"/> Other: _____  |

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

1. Claims 1-9 are rejected under 35 U.S.C. 102(e) as being anticipated by de Hita et al (US Patent No. 6,081,774).
2. Regarding claim 1, de Hita discloses a natural language information retrieval system and method (col. 11, line 57 to col. 39, line 59) teaching a computerized natural language processing system for knowledge management (Figure 1, col. 5, lines 52-59) comprising: an input means for entering data into the system (214,254); at least one server computer (col. 8, lines 40-43) having a processor (212,252), an area of main memory (216,356) for executing program code under the direction of the processor, and a disk storage device (230, 280; col. 9, lines 7-12) for storing data and program code; computer program code stored in disk storage device and executing in the main memory under the direction of the processor (Figure 2; 104; col. 8, line 27 to col. 10, line 17); knowledge repository with a relational database structure with a plurality of database listings that are integrated and managed within the knowledge repository (Figure 3); and an output means for generating a response the data originally input in the system (218, 258).

Regarding claim 2, de Hita discloses said input means is a computer keyboard (col. 8, line 63).

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Regarding claim 3, de Hita discloses said plurality of database listings include derived propositions, subordinate conjunction linkages, nouns, logic database listings and peripheral databases (col. 11, line 57 to col. 13, line 62; col. 15, line 30 to col. 19, line 50; col. 19, line 65 to col. 20, line 46; col. 21, line 47 to col. 36, line 62).

Regarding claim 4, de Hita discloses said output means for generating a response to the data originally input in the system, is a computer monitor and printer (218, 258).

Regarding claim 5, de Hita discloses a natural language information retrieval system and method (col. 11, line 57 to col. 39, line 59) teaching a computerized natural language processing method for knowledge management of data, between the system and a user (Figure 1; col. 5, lines 52-59), comprising the steps of: performing lexical analysis (Figure 10, 1020); performing structural analysis (Figures 4 and 18; col. 37, line 5 to col. 39, line 60); performing data management steps (Figures 4 and 18; col. 11, line 57 to col. 13, line 62; col. 15, line 30 to col. 19, line 50; col. 19, line 65 to col. 20, line 46; col. 21, line 47 to col. 36, line 62); and generating a response in proper grammatical form (col. 5, lines 52-64).

Regarding claim 6, de Hita discloses receiving sentences of data by the user (col. 37, lines 5-8); seeking individual words in the sentence and utilizing the user's sentence in a lexicon to collect lexical data on each word's parts of speech, word senses and semantic associations to other words (Figures 5-15 and 17-19; col. 37, line 5 to col. 39, line 60); organizing the words from the sentences into synonym sets in the lexicon (col. 37, line 5 to col. 39, line 60); and dividing the lexical data into identifiers and non- identifiers (col. 37, line 5 to col. 39, line 60).

Regarding claim 7, de Hita discloses performing structural analysis further comprises the steps of: extracting numerals, adverbs, dates and times (col. 38, lines 37-46); determining a

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sentence type for each sentence (col. 37, lines 37-55); deducing the fewest number of permutations of word senses resulting reasonable meanings and understandings of the sentences (col. 38, line 32 to col. 39, line 35); processing the lexical data using transformational grammar rules involving part of speech (POS) specific phrase structure rules, POS specific transformational rules, concept specific transformational rules and concept specific phrase structure rules (col. 38, lines 7-46); and constructing a conceptual dependency representation of the sentences from the permutations and the lexical data (col. 38, line 47 to col. 39, line 35).

Regarding claim 8, de Hita discloses the step of performing data management steps, further comprises the steps of: locating and comparing conceptual dependency representation to existing data relevant to the user's statement, stored in a relational database and serving as a knowledge repository, which accumulates all data from previous entry by the user (Table 1, col. 26; Table 3, col. 38); locating and comparing conceptual dependency representation utilizing different types of logic to apply to real world events (col. 38, line 7 to col. 39, line 43); utilizing the different types logic to determine whether existing data agrees or conflicts with the conceptual dependency representation (col. 38, line 7 to col. 39, line 43); and adding data from the conceptual dependency representation to the knowledge repository (col. 38, line 7 to col. 39, line 43).

Regarding claim 9, de Hita discloses the step for generating a response in proper grammatical form further comprises the step of constructing and displaying one or more grammatically correct responses which are appropriate and relevant to the user's data (col. 37, lines 16-18; col. 38, line 47 to col. 39, line 35).

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***Conclusion***

3. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Angela A. Armstrong whose telephone number is 571-272-7598. The examiner can normally be reached on Monday-Thursday 11:30-8:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Richemond Dorvil can be reached on 571-272-7602. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Angela A Armstrong  
Examiner  
Art Unit 2654

AAA  
May 26, 2005

*Angela A. Armstrong*